



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/567,763	06/09/2006	Alan Berry	DSM_17_US	3881
50446	7590	12/23/2008	EXAMINER	
HOXIE & ASSOCIATES LLC			ROBINSON, HOPE A	
75 MAIN STREET , SUITE 301				
MILLBURN, NJ 07041			ART UNIT	PAPER NUMBER
			1652	
			MAIL DATE	DELIVERY MODE
			12/23/2008	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/567,763	BERRY ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	HOPE A. ROBINSON	1652	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 28 August 2008.  
 2a) This action is FINAL.                    2b) This action is non-final.  
 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 1-42 is/are pending in the application.  
 4a) Of the above claim(s) 1-8 and 12-42 is/are withdrawn from consideration.  
 5) Claim(s) \_\_\_\_\_ is/are allowed.  
 6) Claim(s) 9-11 is/are rejected.  
 7) Claim(s) \_\_\_\_\_ is/are objected to.  
 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.  
 10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
 a) All    b) Some \* c) None of:  
 1. Certified copies of the priority documents have been received.  
 2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____ .                                    |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>2/10/06</u> .   | 6) <input type="checkbox"/> Other: _____ .                        |

**DETAILED ACTION**

*Application Status*

1. Applicant's election with traverse of Group I (claims 9-11, SEQ ID NO:16) is acknowledged.
2. The traversal is on the grounds that claims 18, 20 and 21 are not restricted as applicant contends they pertain to the elected polypeptide and that the examiner did not establish burden. This argument is not persuasive because the issue of search burden is not germane to PCT practice. The Lack of Unity of record established that the claimed invention lacks unity of invention and a special technical feature. Thus, the requirement of record is proper and is final.

*Claim Disposition*

3. Claims 1-42 are pending. Claims 9-11 are under examination. Claims 1-8 and 12-42 are withdrawn from further consideration pursuant to 37 CFR 1.12(b), as being drawn to a non-elected invention, there being no allowable generic or linking claim.
4. The Amendment filed on June 9, 2006 has been received and entered.

***Specification***

5. The specification is objected to because of the following informalities:

The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed. The following is suggested: "Polypeptides and the encoding polynucleotides and methods of using same".

Correction is required.

***Claim Objection***

6. Claims 9-11 are objected to because of the following informalities:

Claim 9 and the dependent claims hereto are objected to as depending from a non-elected claim.

Correction of the above is required.

***Information Disclosure Statement***

7. The Information Disclosure Statement filed on February 10, 2006 has been received and entered. The references cited on the PTO-1449 Form have been considered by the examiner and a copy is attached to the instant Office action.

***Sequence Compliance***

8. It is noted that applicant filed a new sequence listing in paper and computer readable form (CRF) on February 10, 2006, however, the statement that affirms that the content of the sequence listing information in the CRF is identical to the paper copy of the sequence listing, and, where applicable, includes no new matter does not assure that there's no new matter. Therefore, the instant application fails to fully comply with the sequence rules. A signed statement regarding no new matter is required.

Correction is required.

***Claim Rejections - 35 USC 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefore, subject to the conditions and requirements of this title.

9. Claims 9-11 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. Claims 9-11 are drawn to a protein, which reads on a product of nature. The claims should be amended to indicate the hand of the inventor, for example the

insertion of "isolated" or "purified" in connection with the protein to identify a product not found in nature (see MPEP 2105).

***Claim Rejections - 35 USC 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor or carrying out his invention.

10. Claims 9-11 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

The claimed invention is directed to a polypeptide encoded by a polynucleotide according to claim 1 (claim 1: An isolated polynucleotide molecule derivable from a polynucleotide encoding a polypeptide having L-sorbosone dehydrogenase activity comprising a partial nucleotide sequence of at least 20 consecutive nucleotides of SEQ ID NO:1). The claims are also directed to a partial amino acid sequence of at least 25 consecutive amino acids (SEQ ID NO:16) and a partial amino acid sequence of at least 35 consecutive amino acid sequence (see

Art Unit: 1652

claims 10-11). The specification indicates that SEQ ID NO:16 is a deduced amino acid sequence of 268 residues (see page 35 of the specification), and there is no indication of which 25 or 35 residues is referred to in the claims or whether any 25 or 35 residues will have the recited L-sorbosone dehydrogenase activity.

The claims encompass a genus of proteins and their encoding DNAs which are not adequately described. The specification fails to provide any additional representative species of the claimed genus to show that applicant was in possession of the claimed genus. A representative number of species means that the species which are adequately described are representative of the entire genus. The written description requirement for a claimed genus may be satisfied through sufficient description of a representative number of species by actual reduction to practice, disclosure of drawings, or by disclosure of relevant identifying characteristics, for example, structure or other physical and/or chemical properties, by functional characteristics coupled with a known or disclosed correlation between function and structure, or by a combination of such identifying characteristics, sufficient to show the applicant was in possession of the claimed genus.

Accordingly, in the absence of sufficient recitation of distinguishing identifying characteristics, the specification does not provide adequate written description of the claimed genus. Therefore, the genus of claimed polypeptides encompasses widely variant species. Based on the unlimited variations contemplated one skilled in the art would at best expect a protein that is different or at worst a protein that is not functional. Note that claim 7 recites "having" which is equivalent to "comprising" therefore encompasses N or C terminal extensions not described.

*Vas-Cath Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991), states that "applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention. The invention is, for purposes of the 'written description' inquiry, whatever is now claimed" (See page 1117). The specification does not "clearly allow persons of ordinary skill in the art to recognize that [he or she] invented what is claimed" (See *Vas-Cath* at page 1116). The skilled artisan cannot envision the detailed chemical structure of the encompassed genus of polypeptides, and therefore, conception is not achieved until reduction to practice has occurred, regardless of the complexity or simplicity of the method of isolation. Adequate written description requires more than a mere statement that it is part of the invention and reference to a potential method of isolating it. The compound itself is required. See *Fiers v. Revel*, 25 USPQ2d 1601 at 1606 (CAFC 1993).

Therefore, for all these reasons the specification lacks adequate written description, and one of skill in the art cannot reasonably conclude that the applicant had possession of the claimed invention at the time the instant application was filed.

11. Claims 9-11 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for the protein set forth in SEQ ID NO: 16, does not reasonably provide enablement for any fragment or variant of the polypeptide. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make the invention commensurate in scope with these claims. The enablement requirement refers to the requirement that the specification describe how to make and how to use the

invention. There are many factors to be considered when determining whether there is sufficient evidence to support a determination that a disclosure does not satisfy the enablement requirement and whether any necessary experimentation is undue. These factors include, but are not limited to: Quantity of Experimentation Necessary; Amount of direction or guidance presented; Presence or absence of working examples; Nature of the Invention; State of the prior art and Relative skill of those in the art; Predictability or unpredictability of the art and Breadth of the claims (see *In re Wands*, 858 F.2d at 737, 8 USPQ2d at 1404 (Fed. Cir. 1988). The factors most relevant to the instant invention are discussed below.

The amount of experimentation required to practice the claimed invention is undue as the claims encompass an unspecified amount of partial polypeptides and the encoding nucleotides. It is noted that claim 1 from which elected claim 9 depends recites an activity, however, based the modifications encompassed in the claim for the protein structure, the claimed invention may not have function or the function recited.

Additionally, there is no data provided demonstrative of a particular portion of the structure that must be conserved. Further, the claims recite language such as "comprising a partial amino acid" which is not demonstrative of the claimed polypeptide possessing a function or a correlation made between structure and function. Thus, undue experimentation would be required for a skilled artisan to make and/or use the claimed invention commensurate in scope with the claims.

Predictability of which potential changes can be tolerated in a protein's amino acid sequence and obtain the desired activity requires a knowledge of and guidance with regard to which amino acids in the protein's sequence, if any, are tolerant of modification and which are

Art Unit: 1652

conserved (for example, expectedly intolerant to modification), and detailed knowledge of the ways in which the protein's structure relates to its function. In addition, one skilled in the art would expect any tolerance to modification for a given protein to diminish with each further and additional modification, for example, multiple substitutions. In this case, the necessary guidance has not been provided in the specification. Therefore, while it is known in the art that many amino acid substitutions are possible in any given protein, the positions within the protein's sequence where such amino acid substitutions can be made with a reasonable expectation of success are limited, as certain positions in the sequence are critical to the protein's structure/function relationship. It is also known in the art that a single nucleotide or amino acid change or mutation can destroy the function of the biomolecule in many cases. For example, various sites or regions directly involved in binding activity and in providing the correct three-dimensional spatial orientation of binding and active sites can be affected (see Wells, Biochemistry, vol. 29, pages 8509-8517, 1990). The instant specification provides no guidance/direction as to which regions of the protein would be tolerant of modifications and which would not, and it provides no working examples of any variant sequence that is encompassed by the claims. It is in no way predictable that randomly selected mutations, such as deletions, substitutions, additions, etc., in the disclosed sequences would result in a protein having activity comparable to the one disclosed. As plural substitutions for example are introduced, their interactions with each other and their effects on the structure and function of the protein are unpredictable. The skilled artisan would recognize the high degree of unpredictability that all the fragments/variants encompassed in the claims would retain the recited function.

The state of the prior art provides evidence for the high degree of unpredictability as stated above. Seffernick et al. (J. Bacteriology, vol. 183, pages 2405-2410, 2001) disclose two polypeptides having 98% sequence identity and 99% sequence identity, differing at only 9 out of 475 amino acids (page 2407, right column, middle and page 2408, Fig. 3). The polypeptides of Seffernick et al. are identical along relatively long stretches of their respective sequences (page 2408, Fig. 3), however, these polypeptides exhibit distinct functions. The modifications exemplified in the Seffernick et al. reference is small compared to those contemplated and encompassed by the claimed invention.

The specification lacks adequate guidance/direction to enable a skilled artisan to practice the claimed invention commensurate in scope with the claims. Furthermore, while recombinant and mutagenesis techniques are known in the art, it is not routine in the art to screen large numbers of mutated proteins where the expectation of obtaining similar activity is unpredictable based on the instant disclosure. The amino acid sequence of a protein determines its structural and functional properties, and predictability of what mutations can be tolerated in a protein's sequence and result in certain activity, which is very complex, and well outside the realm of routine experimentation, because accurate predictions of a protein's function from mere sequence data are limited, therefore, the general knowledge and skill in the art is not sufficient, thus the specification needs to provide an enabling disclosure.

The working examples provided do not rectify the missing information in the instant specification pertaining to the claimed variant. The nature and properties of this claim is difficult to ascertain from the examples provided as one of skill in the art would have to engage in undue

experimentation to construct the variants of the claimed invention and examine the same for function.

The specification does not provide support for the broad scope of the claims. The claims broadly read on any fragment thereof for the given sequence of SEQ ID NO: 16. The issue in this case is the breadth of the claims in light of the predictability of the art as determined by the number of working examples, the skill level artisan and the guidance presented in the instant specification and the prior art of record. This make and test position is inconsistent with the decisions of *In re Fisher*, 427 F.2d 833, 839, 166 USPQ 18, 24 (CCPA 1970) where it is stated that "...scope of claims must bear a reasonable correlation to scope of enablement provided by the specification to persons of ordinary skill in the art...". Without sufficient guidance, determination of having the desired biological characteristics is unpredictable and the experimentation left to those skilled in the art is unnecessarily and improperly extensive and undue. See *In re Wands*, 858 F.2d at 737, 8 USPQ2d at 1404 (Fed. Cir. 1988).

Thus, for all these reasons, the specification is not considered to be enabling for one skilled in the art to make and use the claimed invention as the amount of experimentation required is undue, due to the broad scope of the claims, the lack of guidance and working examples provided in the specification and the high degree of unpredictability as evidenced by the state of the prior art, attempting to construct and test variants of the claimed invention would constitute undue experimentation. Making and testing the infinite number of possible variants to find one that functions as described is undue experimentation. Therefore, applicants have not provided sufficient guidance to enable one of skill in the art to make and use the claimed

Art Unit: 1652

invention in a manner that reasonably correlates with the scope of the claims, to be considered enabling.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as his invention.

12. Claim 11 is rejected under 35 U.S.C. 112, second paragraph, as failing to set forth the subject matter, which applicant (s) regard as their invention.

Claim 11 lacks clear antecedent basis for the recitation of “the partial amino acid sequence” as the claim depends from claim 9 which depends from claim 1; and claim 1 only mentions a partial nucleotide sequence. The claim should depend from claim 10 instead of claim 9.

### *Conclusion*

13. No claims are allowable.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Hope A. Robinson whose telephone number is 571-272-0957. The examiner can normally be reached on Monday-Friday from 9:00 a.m. to 6:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nashaat Nashed, can be reached at (571) 272-0934.

The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

/Hope A. Robinson/

Primary Examiner, Art Unit 1652